



CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

HEALTH MANAGEMENT ASSOCIATES

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
1	Advance Premium Tax Credits (APTCs) and Cost-Sharing Reductions (CSRs) Data Reporting	BP-FM:01 – APTC and Cost Sharing Reduction Issuer Payments	FM-01.05: Generate Report on Individual Enrollment in Qualified Health Plan	Exchange	Monthly		Automated			
2			FM-01.10: Aggregate and Pay Issuer Level APTCs and CSRs	CMS	Monthly		Automated			
3			FM-01.25: Record Issuer Payment	Exchange	Monthly		Automated			
4			FM-01.30: Verify Individual Tax Credit and CSR Amounts	Exchange	Monthly		Automated			
5			FM-01.50: Receive and Record Cost Sharing Reduction and Premium Tax Credit Funds	Issuer	Monthly		Automated			
6			FM-01.55: Prepare Report of Premium Payment History	Issuer	Monthly		Automated			
7			FM-01.60: Process Premium Payment History from Issuer	Exchange	Monthly		Automated			
8			FM-01.65: Process Report of Individual Premium Payment History	CMS	Monthly		Automated			
9	Premium Processing	BP-FM:03 – SHOP Premium Collection	FM-03.10: Determine Monthly Employer Premium Contribution	SHOP	Monthly		Automated			
10			FM-03.20: Invoice Employer	SHOP	Monthly		Automated			
11			FM-03.40: Receive and Validate Monthly Premium Invoice	Employer	Monthly		Mixed			
12			FM-03.50: Pay Premium to Exchange	Employer	Monthly		Mixed			
13			FM-03.60: Receive and Process Premium Payments	SHOP	Monthly		Automated			
14		BP-FM:04 – State Option to Collect Premiums in the Exchange	FM-04.05: Determine Individual Premium Payment Option	Exchange	Monthly		Automated			
15			FM-04.10: Determine Monthly Individual Premium	Exchange	Monthly		Automated			
16			FM-04.15: Invoice Individual	Exchange	Monthly		Automated			
17			FM-04.20: Receive and Validate Monthly Premium Invoice	Individual	Monthly		Mixed			
18			FM-04.25: Pay Premium to Exchange	Individual	Monthly		Mixed			
19			FM-04.30: Receive and Process Premium Payments from Individuals	Exchange	Monthly		Automated			
20		BP-FM:05 – Employer Premium Discrepancy Resolution	FM-05.10: Monitor Employer Unpaid Premiums	SHOP	Monthly		Automated			
21			FM-05.20: Receive Notification of Payment Discrepancy from SHOP	Employer	When discrepancy is found		Mixed			
22			FM-05.30: Resolve Invoice/Payment Discrepancy with Exchange	Employer	When discrepancy is found		Mixed			
23			FM-05.35: Receive Notification of Invoice Discrepancy from Employer	SHOP	When discrepancy is found		Mixed			
24			FM-05.40: Resolve Invoice/Payment Discrepancy with Employer	SHOP	When discrepancy is found		Mixed			
25			FM-05.50: Update Employer Account Due to Incorrect Invoice	SHOP	When discrepancy is found		Automated			
26		BP-FM:06 – Individual Premium Discrepancy Resolution	FM-06.05: Monitor for Individual Unpaid Premiums	Exchange	Monthly		Automated			
27			FM-06.10: Receive Notification of Invoice Discrepancy from Individual	Exchange	When discrepancy is found		Mixed			
28			FM-06.20: Resolve Invoice/ Payment Discrepancy with Individual	Exchange	When discrepancy is found		Mixed			
29			FM-06.30: Receive Notification of Payment Discrepancy from Exchange	Individual	When discrepancy is found		Mixed			
30			FM-06.40: Resolve Invoice/Payment Discrepancy with Exchange	Individual	When discrepancy is found		Mixed			
31			FM-06.50: Update Individual Account Due to Incorrect Invoice	Exchange	When discrepancy is found		Automated			
32		BP-FM:07 – Issuer Invoice/ Payment Discrepancy Resolution	FM-07.05: Receive Notification of Invoice/ Payment Discrepancy from Issuer	Exchange	When discrepancy is found		Automated			
33			FM-07.10: Resolve Invoice/ Payment Discrepancy with Issuer	Exchange	When discrepancy is found		Mixed			
34			FM-07.15: Resolve Invoice/ Payment Discrepancy with Exchange	Issuer	When discrepancy is found		Mixed			
35			FM-07.20: Update Exchange Records with Corrected Invoice/ Payment Information	Exchange	When discrepancy is found		Automated			



TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

HEALTH MANAGEMENT ASSOCIATES

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				

36			FM-07.25: Update Issuer Records with Corrected Invoice/ Payment Information	Issuer	When discrepancy is found		Automated			
37	Data Collection	BP-FM:08 – Non-Exchange Enrollee/ Rate Data Collection	FM-08.05: Provide Enrollee Data	Issuer	Monthly		Automated			
38			FM-08.10: Receive and Process Enrollee Data (Non-Exchange)	State	Monthly		Automated			
39			FM-08.15: Provide Plan Data	CMS	Quarterly		Automated			
40			FM-08.20: Receive and Process Plan and Enrollment Data (Non-Exchange)	State	Quarterly		Automated			
41			FM-08.25: Validate Issuer Supplied Enrollee Data	State	Quarterly		Automated			
42			FM-08.30: Generate and Send Enrollment Discrepancy Information to Issuer and CMS	State	Quarterly		Automated			
43			FM-08.35: Receive Enrollment Discrepancy Information	Issuer	Quarterly		Mixed			
44			FM-08.40: Receive Enrollment Discrepancy Report	CMS	Quarterly		Mixed			
45		BP-FM:09 – Claims/ Encounter Data Collection	FM-09.20: Provide Claims/ Encounter Data	Provider	As or after service is provided		Automated			
46			FM-09.30: Provide Rx Claims Data (from Pharmacies)	Provider	As or after service is provided		Automated			
47			FM-09.40: Receive Claims/Encounter Data	Issuer	Issuer determined, at least monthly		Automated			
48			FM-09.50: Determine Claims/Encounter Data to Submit to State	Issuer	Issuer determined, at least monthly		Automated			
49			FM-09.60: Submit Claims/Encounter Data to State	Issuer	Issuer determined, at least monthly		Automated			
50			FM-09.70: Receive and Process Claims/Encounter Data	State	As provided		Automated			
51			FM-09.80: Receive and process Summary/ Detail Claims/ Encounter Acceptance Information	Issuer	As received		Automated			
52			FM-09.90: Analyze and Correct Rejected Data	Issuer	As required		Mixed			
53	Risk Spreading Calculations	BP-FM:10 – Reinsurance Payment Calculation	FM-10.10: Submit Claims/ Bills	Provider	During year, as incurred		Mixed			
54			FM-10.20: Pay Claims/Bills	Issuer	During year, as incurred		Automated			
55			FM-10.30: Aggregate Claims/Bills	Issuer	Periodic		Automated			
56			FM-10.35: Determine Individual Eligibility for Reinsurance	Issuer	Periodic		Automated			
57			FM-10.40: Request Reinsurance Payment	Issuer	Periodic		Automated			
58			FM-10.50: Review Request for Reinsurance Payment	Reinsurance Entity	As received		Mixed			
59			FM-10.55: Calculate Reinsurance Payment and Payment Report	Reinsurance Entity	Periodic		Mixed			
60			FM-10.60: Receive Reinsurance Acceptance Information	Issuer	Periodic		Automated			
61			FM-10.65: Provide Detail and Summary Claims/ Encounter Data	State	Annual		Automated			
62			FM-10.70: Verify Reinsurance Payment Requests	Reinsurance Entity	Periodic		Mixed			
63		BP-FM:11 – Risk Adjustment Calculation	FM-11.05: Provide Exchange Enrollee Data	Exchange	Periodic		Automated			
64			FM-11.07: Receive and Store Exchange Enrollee Data	State	Periodic		Automated			
65			FM-11.10: Extract and Merge Risk Adjustment Data	State	Time based, variable by year initially		Automated			
66			FM-11.15: Provide Exchange Plan Data	Exchange	Periodic		Automated			
67			FM-11.17: Receive and Store Exchange Plan Data	State	Periodic		Automated			
68			FM-11.25: Calculate Individual Actuarial Risk	State	At least Annually		Automated			
69			FM-11.30: Determine State and Plan Average Actuarial Risk	State	At least Annually		Automated			
70			FM-11.35: Calculate Risk Adjustment Payments and Charges	State	At least Annually		Automated			
71			FM-11.40: Generate Plan Risk Adjustment Detail and Summary Information	State	Whenever factors are calculated		Automated			
72			FM-11.45: Receive Risk Adjustment Detail and Summary Information	Issuer	When reports are received		Automated			
73		BP-FM:12 – Risk Corridors	FM-12.05: Extract and Summarize Claims Costs	State	Annual		Automated			



TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

HEALTH MANAGEMENT ASSOCIATES

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
74			FM-12.10: Extract Summarized Enrollment, Premium and Risk Adjustment Charges/ Payments Data	State	Annual		Automated			
75			FM-12.15: Extract and Summarize Reinsurance Payment Data	Reinsurance Entity	Annual		Automated			
76			FM-12.20: Aggregate and Provide Net Cost and Premium Data	Issuer	Annual		Automated			
77			FM-12.25: Extract and Send Exchange Plan Data	Exchange	Annual		Automated			
78			FM-12.30: Receive Financial Information	CMS	Annual		Mixed			
79			FM-12.35: Receive and Verify Net Cost and Premium Data	CMS	Annual		Automated			
80			FM-12.50: Calculate Plan Level Risk Corridor Payments and Charges	CMS	Annual		Automated			
81			FM-12.60: Send Issuer Payments and Invoices for Charges	CMS	Annual		Automated			
82			FM-12.62: Receive Payments and Send Charges	Issuer	Annual		Automated			
83			FM-12.65: Receive Issuer Charges	CMS	Annual		Automated			
84			FM-12.95: Receive Unpaid Charge Information	Exchange	Annual		Automated			
85	Issuer Payment Transfers	BP-FM:13 – Plan Assessment for State Exchanges	FM-13.10: Calculate User Fees Due for Exchange Operations	Exchange	Monthly		Automated			
86			FM-13.20: Pay User Fee	Issuer	Monthly		Manual			
87			FM-13.30: Receive and Process User Fees	Exchange	Monthly		Mixed			
88			FM-13.40: Create Exchange Annual Financial Report	Exchange	Annual		Mixed			
89		BP-FM:14 – Aggregated Premium Payment to Issuers and User Fee Collection	FM-14.05: Aggregate Premium Payment to Issuers	Exchange	Monthly, variable		Automated			
90			FM-14.10: Calculate User Fees Due for Exchange Operations	Exchange	Monthly		Automated			
91			FM-14.15: Remit Aggregated Premium Less User Fees to Issuer	Exchange	Monthly		Automated			
92			FM-14.20: Receive Aggregated Premium Less User Fees from Exchange	Issuer	Monthly		Automated			
93			FM-14.30: Create Exchange Annual Financial Report	Exchange	Annual		Mixed			
94		BP-FM:15 – Reinsurance Contributions	FM-15.10: Provide Enrollment and Premium Data, and Reinsurance Contribution Remittance and Report	Issuer	Periodic		Automated			
95			FM-15.20: Provide Enrollment and Cost Data, and Reinsurance Contribution Remittance and Report	Third Party Admin	Periodic		Automated			
96			FM-15.40: Receive and Process Contributions	Reinsurance Entity	Receipt of contributions		Mixed			
97		BP-FM:16 – Reinsurance Contribution Verification	FM-16.05: Provide List of Issuers/ TPAs and Supporting Data	TBD	Periodic		Automated			
98			FM-16.10: Extract and Summarize Exchange Enrollment and Premium Data	Exchange	Periodic		Automated			
99			FM-16.20: Extract and Summarize Non-Exchange Enrollment and Premium Data	State	Periodic		Automated			
100			FM-16.30: Verify Reinsurance Contribution Amounts	Reinsurance Entity	Periodic		Mixed			
101		BP-FM:17 – Reinsurance Financial Transfers	FM-17.10: Determine and Remit Contribution to General Fund	Reinsurance Entity	Periodic		Automated			
102			FM-17.20: Receive Contribution Reports and Contributions to General Fund	CMS	Periodic		Automated			
103			FM-17.30: Confirm Receipt of Contributions to General Fund	CMS	Periodic		Automated			
104			FM-17.40: Receive Confirmation of Contributions to General Fund	Reinsurance Entity	Periodic		Automated			
105			FM-17.50: Determine Payments to be Made to Issuers	Reinsurance Entity	Periodic		Automated			
106			FM-17.55: Determine Availability of Funds	Reinsurance Entity	Periodic		Mixed			
107			FM-17.60: Remit Approved Reinsurance Payments	Reinsurance Entity	Periodic		Automated			
108			FM-17.65: Receive Reinsurance Payments	Issuer	Periodic		Mixed			
109			FM-17.70: Create Reinsurance Annual Financial Report	Reinsurance Entity	Annual		Mixed			
110		BP-FM:18 – Risk Adjustment Payment	FM-18.10: Create/Update State Issuer Accounts	State	At least Annually		Mixed			
111			FM-18.15: Notify Issuers of Risk Adjustment Charges (Net Negative Balance Issuers)	State	At least Annually		Automated			
112			FM-18.20: Receive and Validate Risk Adjustment Charges	Issuer	At least Annually		Automated			
113			FM-18.25: Remit risk adjustment charges (net negative balance Issuers)	Issuer	At least Annually		Automated			
114			FM-18.30: Monitor for Issuer Unpaid Risk Adjustment Charges	State	At least Annually		Automated			



TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

Functionality already in place

Functionality partially in place

No functionality at present

HEALTH MANAGEMENT ASSOCIATES

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					<i>If Applicable</i>	<i>If Applicable</i>				
115			FM-18.35: Receive and Process Risk Adjustment Charges	State	At least Annually		Automated			
116			FM-18.40: Determine Available Funding for Risk Adjustment Payments	State	At least Annually		Automated			
117			FM-18.45: Remit Risk Adjustment Payments (Net Positive Balance Issuers)	State	At least Annually		Automated			
118			FM-18.50: Receive risk adjustment payment (net positive balance Issuers)	Issuer	At least Annually		Automated			
119			FM-18.55: Generate Annual Risk Adjustment Financial Report	State	Annual		Mixed			



HEALTH MANAGEMENT ASSOCIATES

CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

SYSTEM(s):								SYSTEM FUNCTIONALITY ASSESSMENT		
Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
120	Entity Financial Management	Accounts Receivable	All postings to accounts systematically update all appropriate subsidiary accounts simultaneously and immediately	Exchange						
121			Capability to age past-due accounts	Exchange						
122			Capability to generate billing statements and invoices in any sort order and based on select criteria, e.g. a user-specified date or a transaction type. Note: Do not expect this functionality to be used much.	Exchange						
123			Capability to produce refund checks from Accounts Receivable through Accounts Payable	Exchange						
124			Interest for overdue amounts, late fees and deferred payment fees can be systematically calculated and posted using a choice of user-defined methods	Exchange						
143		Accounts Payable	Capability to designate separate ship to/bill to addresses	Exchange						
144			Vendor database/roster is interfaced to Purchasing	Exchange						
145			Enable on-demand check generation and check generation on designated days/times process that automatically updates the GL and may liquidate associated encumbrance. Note: functionality may be used for payroll transactions.	Exchange						
146			Distinct administrative control of check writing (i.e. separate security/authorization provisions for this function).	Exchange						
147			Facilitate flagging of potential or actual duplicate payments and checks as well as duplicate check numbers	Exchange						
148			Facilitate grouping of vendor payments such that one check per invoice or vendor per check run can be generated (for multiple invoices/items)	Exchange						
149			Generate "remittance advices" for generated checks/payments (based on standardized codes/transaction types (e.g. invoice #, account #); "context-sensitive" information message capability is a separate requirement (GC)).	Exchange						
150			Invoice amount can be distributed to multiple expense accounts	Exchange						
151			Automatically increment check numbers with a feature to override this	Exchange						
152			Ability to calculate/handle payments of various periodicity (monthly, quarterly, semiannually, etc.) each year, e.g. rental or lease payments	Exchange						
153			Ability to accept travel reimbursement via online forms and to process said requests based on prescribed workflows and rules	Exchange						
154			Ability to handle travel reimbursement payments as electronic fund transfers that can be incorporated into the payroll cycle, i.e. travel reimbursement payments would be issued at the same time as employee wages/benefits as direct deposits	Exchange						
155			Purchase orders cannot be terminated without further authorization once PO has been issued	Exchange						
156			Ability to scan supporting voucher information (invoice, receiving report, etc.) into system to support payment	Exchange						
157			System supports user customizable forms for non-purchasing orders and check requests	Exchange						
158			System enables online submission of non-purchasing orders and check requests	Exchange						
159			Items received but the recording of goods returned to the vendor can be tracked online and linked as needed to Accounts Payable	Exchange						
160			Enable use of hand held devices to scan in bar codes on packages to log in purchase order receipts	Exchange						
161			Enable system to produce receiving reports that can be used to log in receipts by the person that issued the PO or is receiving the order	Exchange						
162			Item receipts can be filled out manually and then inputted by the receiving or AP staff or can be received and entered online	Exchange						
163			Ability to age AP accounts	Exchange						
125		Financial accounting including GL and COA administration	All transactions, whether posted manually or automatically, update both general and subsidiary ledgers systematically	Exchange						
126			Built-in procedures and safeguards facilitate GL accounts being always in balance and that subsidiary ledgers total to control accounts	Exchange						



TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

Functionality already in place

Functionality partially in place

No functionality at present

HEALTH MANAGEMENT ASSOCIATES

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					<i>If Applicable</i>	<i>If Applicable</i>				
127			Chart of Accounts (COA) hierarchical and multidimensional structures - including "intelligent" coding - can be defined to allow for reporting of revenues and expenditures by service, program, fund, vendor, site, etc.	Exchange						
128			Facilitate bank statement reconciliation - ideally: fully automated function with automated upload of bank statements and reconciliation without human intervention	Exchange						
129			Facilitate recurring journal entries and reversing journal entries	Exchange						



HEALTH MANAGEMENT ASSOCIATES

CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

Functionality already in place

Functionality partially in place

No functionality at present

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					<i>If Applicable</i>	<i>If Applicable</i>				
130			Facilitate year-end closing of accounts and generation of balance forwards and encumbrances	Exchange						
131			New account numbers/IDs are automatically validated	Exchange						
132			Systematic verification that each transaction as posted balances within each fund and qualifies as an acceptable entry for the particular type of account	Exchange						
133			Systematic verification that each transaction as posted is accessing accounts which are permissible based on the entry/transaction type	Exchange						



HEALTH MANAGEMENT ASSOCIATES

CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

Functionality already in place

Functionality partially in place

No functionality at present

SYSTEM(s):								SYSTEM FUNCTIONALITY ASSESSMENT		
Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
134			Systematic verification that each transaction as posted is for a permissible posting date	Exchange						
135			Facilitate allocation of indirect costs (including for grants for purposes of reporting to grantors).	Exchange						
136			Capability to process miscellaneous cash receipts not related to receivables (deposit date, check #)	Exchange						
137			Facilitate voiding and reversal of checks by authorized personnel	Exchange						
138			Within the account number structure, the system must support several number designations for each account	Exchange						
139			Can handle an account number of up to 25 characters	Exchange						
140			Provide for an expense allocation process based on predetermined criteria/rules and enable reporting on account distribution by month	Exchange						
141			System supports records for multiple fiscal years	Exchange						
142			Ability to perform mass changes to account or program numbers and to retain the history of said changes for audit trail and reporting purposes	Exchange						
143			Ability to route journal entries for review and approval before posting - flexible, business-rule driven hierarchy that routes transactions to the appropriate user and/or his/her backup	Exchange						
144		Funds Management	Facilitate creation of due-to/due-from entries for interfund transfer transactions	Exchange						
145		Employee Benefits Management	Ability to accrue and view all earned time (vacation, sick, holiday, compensation - if applicable, etc.) available and used by time period	Exchange						
146			Ability to process mass benefit updates, e.g. annual change in health insurance premiums and flexible benefits	Exchange						
147			Ability to track all leave programs including contingent leave, sick leave, short-term disability, long-term disability, FMLA time off, etc.	Exchange						
148			Record and track dependent information for insurance purposes	Exchange						
149			Support of cafeteria benefit plan options (e.g. HSA, dependent care FSA) and associated deductions	Exchange						
150		Human Resources	Capture and track educational and training requirements and milestones by employee - employee training profiles, educational attainment, supervisory/management training, etc.	Exchange						
151			Capture and track employee exit interview data with the ability to codify responses to certain questions in standardized form	Exchange						
152			Capture educational history and previous work history of current or past employees	Exchange						
153			Capture employee status history with the Entity hire date, termination date, transfer(s) and other status changes, e.g. promotions	Exchange						
154			Capture W-4 forms, employee contracts, non-compete and confidentiality agreements, licensing/certification information and similar documents	Exchange						
155			Employee demographic, contact and identification profile: employee name, emergency contact information, phone #(s), address(es), SSN, permanent resident/employment visa #/ID, driver's license number/ID, other demographic and ID information not required for payroll purposes (but of value for reporting and other purposes)	Exchange						
156			Job/position control: create and maintain job classification scheme and positions authorized by organization and cost center (and, if applicable, by program, project and/or fund); enable reporting of budgeted vs. filled positions and FTEs	Exchange						
157			Manage employee schedules of various types including Compressed Work Week, Alternative Work Week, staggered in/out times, abbreviated breaks/lunch, and other variations - tie to payroll as needed	Exchange						
158			Performance evaluation management: track, report and maintain history by employee of performance evaluation milestones and basic information (future dates, past due, history, overall rating) with reminders of evaluations due/past due	Exchange						



TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

HEALTH MANAGEMENT ASSOCIATES

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
159			Recruitment functionality: tracking of applicants by name, SS#, applicant #/ID, address, phone #(s), date of application, position(s) applied for, interview(s) conducted, ability to capture and codify resumes/bios, application entry and data capture (as s	Exchange						
160			Skills database: structured capture of occupational skills by employee	Exchange						
161			Position control/relevant personnel data is interfaced to budget	Exchange						
162			Ability to track, report and maintain history of hires, terminations, transfers and status changes other than those associated with employment with Entity for as long as Entity desires	Exchange						
163			Record and track employee training, education and courses taken	Exchange						
164			Ability to update withholding tables annually or as changes occur	Exchange						
165		Payroll	Ability to process mass pay increases as well as increases specific to job classes and individual employees	Exchange						
166			Ability to provide total of direct deposit and checks listed separately	Exchange						
167			Ability to support multiple federal and SUTA entities.	Exchange						
168			Ability to track pay by earnings codes, cost centers, organizations, programs, projects (if applicable) and funds - tie to Time and Attendance (TA) as needed	Exchange						
169			Automated calculation of gross pay, benefit and other deductions (pre-tax and other) and tax withholdings by employee	Exchange						
170			Automated generation of paychecks and/or ACH transactions for electronic transfer of employee pay ("direct deposit")	Exchange						
171			Calculate worked and paid FTEs by organization, cost center, program, project (if applicable) and fund (if applicable) by pay period and other bases	Exchange						
172			Capacity to handle up to 2,000 employees including expected volume of payroll transactions	Exchange						
173			Facilitate capture and processing of unemployment taxes.	Exchange						
174			Facilitates wage garnishments - calculations and processing/remittance to appropriate parties	Exchange						
175			Manage wage/salary information based on different types of salary variations and structures, e.g. overtime for non-exempt employees, compensation pay for exempt employees, compensation time bank for exempt employees, shift differential pay	Exchange						
176			Produce payroll registers and automated GL entries at the user-defined level of detail	Exchange						
177			Support electronic W-2 filing	Exchange						
178			Online transfer of benefit enrollment to third parties as needed	Exchange						
179			Supports payroll interface to state ERP (form of this interface TBD)	Exchange						
180			Ability for electronic transfer of reports	Exchange						
181		Employee Self-Service	Employee self-service functionality for entering TA information	Exchange						
182			Online pay history for employees to access including electronic paystubs	Exchange						
183			Self-service functionality for: employee profile, skills database, work history, payroll changes, benefit changes, PTO requests and personnel action requests by Entity management/supervisory personnel	Exchange						
184		Time and Attendance	Ability to attribute time worked to multiple programs/departments	Exchange						
185			Ability to enter standardized comments for each TA entry	Exchange						
186			Ability to flag instances where employee in/out time is not consistent with work schedule	Exchange						
187			Ability to manage unlimited job classifications	Exchange						
188			Ability to manage unlimited TA/labor entries	Exchange						
189			Ability to manage unlimited work schedules and shifts	Exchange						
190			Ability to set rules such that system will flag potentially or outright erroneous entries, e.g. negative leave or check amounts	Exchange						



HEALTH MANAGEMENT ASSOCIATES

CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

SYSTEM(s):								SYSTEM FUNCTIONALITY ASSESSMENT		
Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
191			Ability to validate certain TA entries against available hours by PTO type (sick, vacation, compensatory time, etc.)	Exchange						
192			Built-in ability to retain and display TA entries	Exchange						
193			Built-in capability to calculate benefit balances	Exchange						
194			Capacity to handle up to 2,000 employees including expected volume of concurrent entries	Exchange						
195			Facilitate messaging to individual employees (at time of completing timesheet)	Exchange						
196			Systematic verification/confirmation of TA entries by time period including feedback to user to allow for corrections prior to submission	Exchange						
197			Ability to retain history of all employee TA entries for as long as Entity desires	Exchange						
198			Have proven capability to receive time and attendance records/entries from remote badge-driven terminals or time clocks, preferably without third-party software	Exchange						
199		Workflow Enablement	Review and approval routing of HR transactions - payroll changes, benefit changes, PTO requests and personnel action requests by Entity management/supervisory personnel - flexible, business-rule driven hierarchy that routes transactions to the appropriate user and/or his/her backup	Exchange						
200			Facilitate mass or individual approval of TA entries ("timesheets")	Exchange						
201			Electronic routing of TA entries and reports for approval by authorized users	Exchange						
202		Vendor Management	Accommodate designation codes for each vendor including 1099, MBE, WBE or other special status	Exchange						
203			Accumulate information for processing 1099s and the ability to print and reprint said information on-demand	Exchange						
204			Capability to store and associate multiple services, contacts, IDs, social security numbers, and addresses to a single vendor and the ability to store said history	Exchange						
205			Capability to track vendors requiring a W-9 (Request for Taxpayer Identification Number and Certification) form	Exchange						
206			Ability to access and obtain reports on Entity vendors based on data collected (ref. Requirement #178)	Exchange						
207		Asset Management	Assets with "independent" and "dependent" components, e.g. computing workstation (CPU: independent component, stand-alone monitor: dependent component), capability to easily associate/link dependent components to independent components	Exchange						
208			Assets with support agreements: link agreement (Vendor Management) to asset	Exchange						
209			Calculation of depreciation can be carried out by GAAP (GASB)	Exchange						
210			Capability to record detailed property records for all fixed assets including: program #, asset tag #, federal/state/local designation, other ID codes, multiple classifications/asset types, acquisition data, asset vendor information, service/support vendor information (integrated to Vendor Management data), maintenance schedule data, make, model, serial number, disposition data, asset useful life, site, cost center, responsible party/person (within the Entity), and other user-defined data	Exchange						
211			Facilitate asset transfer to different organizations, cost centers, sites, locations, etc.	Exchange						
212			GL transactions are automatically generated for depreciation and asset disposal; these can be overridden by designated Entity personnel	Exchange						
213			Store complete valuation data including purchase, replacement, disposal, renewal, book and other user-defined attributes, e.g. insurance	Exchange						
214		Capital Project Management	Capability to account for capital (construction) projects - includes project award, release of funds, obligations and expenditures for overall project and by contractor (vendor specifically dedicated to project).	Exchange						
215			Capability to define project accounting periods which are different from "standard" periods (i.e. fiscal year, calendar year)	Exchange						



HEALTH MANAGEMENT ASSOCIATES

CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

SYSTEM(s):								SYSTEM FUNCTIONALITY ASSESSMENT		
Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
216		Data Analysis	Ability to generate trial balance reports, income statements, balance sheets and cash flow statements online and on-demand	Exchange						
217			Ability to query online all accounts, transactions, vendors, programs, funds, etc.	Exchange						
218			Ad-hoc report and analysis capability: ability to create and retain datasets based on user-defined criteria for interactive analysis including "drill-down", "roll-up" and multidimensional analysis, what-if/scenario modeling, table and graph/chart generation	Exchange						
219		Interfaces/Data Exchanges	Ability to import/export journal entries via standard spreadsheet formats or as delimited or fixed-length text files	Exchange						
220			Data can be exported per user specifications to word processing, spreadsheet, database and other Microsoft Office applications	Exchange						
221			Electronic payroll reporting to IRS, state and (if applicable) county governments	Exchange						
222			Facilitate electronic funds transfer/automated clearinghouse (EFT/ACH) to vendors	Exchange						
223			Interface to banking for all payroll-related transactions involving banking including but not limited to direct deposit of net employee pay	Exchange						
224			Support export of TA entry data to third-party systems if needed	Exchange						
225			Can upload data from an MS Excel file	Exchange						
226			Can upload data from an MS Access database	Exchange						
227			Can download data to an MS Excel file	Exchange						
228			Can download data to an MS Access database	Exchange						
229		Financial Reporting	Ability to generate labor distribution and payroll summary reports and, if needed, choose by program	Exchange						
230			Ability to produce an online and/or hard copy compensation/benefit statement for employees	Exchange						
231			All reports shall be capable of being emailed using MAPI compliant email services/systems or made available via employee/management portal(s)	Exchange						
232			Capability to store, recall and execute report query statements for previously generated reports and queries using (a) data used at the time of the original report, (b) updated/refreshed data and/or (c) user-defined dataset.	Exchange						
233			Generate online and hard copy reporting of purchase orders issued and items received	Exchange						
234			Open encumbrance report at the lowest level of detail and consolidated as defined by the user	Exchange						
235			Pre-loaded A/P aging reports	Exchange						
236			Report on all payroll, HR and employee benefits activities based on user-defined querying criteria	Exchange						
237			Report/query processing can be scheduled for "after hours" and/or set to occur periodically	Exchange						
238			Reports of capitalized and non-capitalized fixed assets are available by user-defined asset types and other criteria, e.g. acquisition date, book value, site, program, etc.	Exchange						
239			Retrieve purchasing transaction history online and in hard copy reports including linkages of POs to requisitions, invoices and checks, and the associated audit trail	Exchange						
240			Standardized financial statements, supporting schedules, and a library of management reports which different users can access online based on user rights; reports conform with FASB/GASB guidelines. Report formats can be changed easily.	Exchange						
241			Calculate, track and report on personnel status statistics including employee turnover and retention analysis	Exchange						
242			User can design financial statements, supporting schedules, and other types of management reports using built-in system capabilities and tools; different users can have different report templates/formats for their use which conform with FASB/GASB guidelines	Exchange						



HEALTH MANAGEMENT ASSOCIATES

CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

.0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

SYSTEM(s):								SYSTEM FUNCTIONALITY ASSESSMENT		
Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					If Applicable	If Applicable				
243			User-friendly, online "What You See Is What You Get" report design and generation functionality which leverages both real-time and historical data - ability for users to build reports with the following features: titles - overall and section, page layout, column and row headings, totals/subtotals, calculations, grouping and sorting, page breaks	Exchange						
244			Ability to run prior financial statements to include budget information at that time	Exchange						
245			System can retrieve linked document history online re: purchase requisitions, invoices and checks	Exchange						
246			System provides online inquiry tools with extensive roll up, drill down and drill around capabilities	Exchange						
247		Encumbrance Management	Encumbrances are automatically released upon payment of invoice	Exchange						
248			POs and requisitions can be encumbered and systematically be partially or fully liquidated	Exchange						
249		Financial Planning/Budgeting	All posted budget updates/amendments are recorded to provide complete audit trails of approved budgets	Exchange						
250			Approved budget is automatically recorded for use by GL in the new fiscal year	Exchange						
251			Budget data can be established and maintained on-line for up to 7 previous years and for up to 5 future years	Exchange						
252			Budget information can be copied forward from previous or current budgets	Exchange						
253			Budget projections can be generated and stored for multiple fiscal years and other time periods based on current revenues and expenditures, historical revenues and expenditures and related patterns (e.g. seasonality), grant inflows and projected expenditure schedules, encumbrances, user-defined parameters and conditions, etc.	Exchange						
254			Comparison and summarization capabilities for analyzing effects of budget requests and alternatives on all or part of a budget	Exchange						
255			Facilitate forecasts based on current revenues and expenditures, historical revenues and expenditures and related patterns (e.g. seasonality), grant inflows and projected expenditure schedules, encumbrances, user-defined parameters and conditions (e.g. annualizing), etc.	Exchange						
256			Subsequent budget proposals/possible amendments can be analyzed without affecting current budget	Exchange						
257			Ability to make mass changes or updates to a budget or forecast item, e.g. benefit % for FICA, retirement or health insurance including the ability to apply this change retroactively	Exchange						
258			Budgets or forecasts can be updated using current salaries and benefits	Exchange						
259			Budgets or forecasts can include vacant positions automatically	Exchange						
260		Grant Management	Capability to define grant accounting periods which are different from "standard" periods (i.e. fiscal year, calendar year)	Exchange						
261			Ability to access up to seven years of transaction-level data online and through printed reports	Exchange						
262			Ability to add new fields to system tables without requiring extensive programming and testing	Exchange						
263			Access rights-driven ability to restrain TA entries to certain users	Exchange						
264			Application patches and release updates are designed and managed such that (1) these can be "backed out" as needed without compromising data integrity or existing functionality, and (2) custom work performed on the application is not compromised	Exchange						
265			Capability to print context-sensitive informational messages or custom messages specific to a statement/invoice/payment	Exchange						
266			Ensure adequate measures are inherent to the system to preserve data integrity (protect against data tampering)	Exchange						
267			Multiple actions can be performed by users concurrently; e.g. multiple reports can be run concurrently while user creates requisition and approves personnel requests.	Exchange						
268			Records of all transactions, including POs and requisitions, can be printed or reprinted online and on demand	Exchange						



HEALTH MANAGEMENT ASSOCIATES

CONNECTICUT HEALTH INSURANCE EXCHANGE PLANNING

TAILED FUNCTIONALITY ASSESSMENT OF IN-SCOPE INFORMATION SYSTEM CAPABILITIES RE: EXCHANGE FINANCIAL MANAGEMENT PROCESSES

sis: Exchange Reference Architecture (CMS), HMA consultant document review and analysis, interviews with CT resources

.0 2011 11 17 as completed by Comptroller's Office

	Functionality already in place
	Functionality partially in place
	No functionality at present

SYSTEM(s):

CORE-CT (PEOPLESOFT)

SYSTEM FUNCTIONALITY ASSESSMENT

Ref #	Business Process Grouping	Business Process	Activity ID	Activity Owner	Trigger Event	Process/Function Time Requirement	Automated or Manual?	CORE-CT		NOTES/COMMENTS
					<i>If Applicable</i>	<i>If Applicable</i>				
269			Separate subsidiary ledgers can be created and maintained for budgeting/financial planning, deposits and other receivables, etc.	Exchange						
270			Support cash, accrual and modified accrual bases of accounting	Exchange						
271			Support user-specific security, access and rights levels addressing the ability to: create, modify or delete records, make inquiries, access certain data, access certain reports, approve certain transaction types and/or serve as backup to approvers, admin	Exchange						
272			Systematic control of transaction/journal entries based on fiscal year parameters	Exchange						
273			Systematic maintenance of and the ability to report on "audit trail" information reflecting all activities on all system records, e.g. recording and retention of all transactions created, modified, deleted, etc. along with user and date/time stamp of event. E.g. must provide a report showing what was changed on master employee and payroll files, by whom and when	Exchange						
274			Systematic verification that the transaction/journal entry being created can be created by the user making the entry - user authority/rights	Exchange						
275			TA system shall have security access definable with multi-level passwords, limiting operation of the system to authorized personnel	Exchange						
276			User has ability to maintain and control system tables for definition of COA properties	Exchange						
277			ERP solution provider has a "trouble ticket/work order" process available online for submitting and keeping track of ERP system maintenance requests	Exchange						
278			Ability to automatically email POs and other transactions to vendors	Exchange						
279	Purchasing		Review and approval routing of purchasing transactions - requisitions and POs can be routed electronically for review and approval - flexible, business-rule driven hierarchy that routes transactions to the appropriate user and/or his/her backup	Exchange						
280			Accommodate addition of freight and bulk charges	Exchange						
281			All open POs can be queried online by vendor, buyer, fund, organization, cost center, account, program, project, item type and PO # (criteria to be flexible and user-specified)	Exchange						
282			Automatic calculation of discounts and payment terms/schedules based on user-defined rules, including automatic calculation of payment due date for taking advantage of available discounts	Exchange						
283			Capability to encumber a single requisitioned item to multiple accounts	Exchange						
284			Capability to produce purchase requisitions and orders with items chargeable to multiple accounts/programs/funds	Exchange						
285			Capability to track/record items received and items returned	Exchange						
286			Change orders can be processed against an existing PO at multiple stages of the PO life cycle with capability to view history	Exchange						
287			Enable user customizable forms for requisitions	Exchange						
288			Facilitate authorized users' review and approval of requisitions	Exchange						
289			Facilitate creation of purchase orders	Exchange						
290			Online processing of credit memos	Exchange						
291			Partial shipments and payments can be handled/processed (tied to Accounts Payable as needed)	Exchange						
292			Proactive identification of requisitioned items which would cause budget shortfall; provide options for covering expenditure	Exchange						
293			Purchase requisitions can be created online by any authorized user	Exchange						